

### Policy Recommendations for the Faculty Senate to Consider—10-24-2012

The Faculty Senate makes the following proposals in an effort to achieve positive and concrete action that is a result of faculty input and deliberative discussion with the administration in the two Shared Governance Forums. Prior to the first Forum (April 25, 2012), the senate conducted a [survey](#) of faculty with questions on the tenure and promotion policies and procedures. The faculty responses to the survey indicate widespread faculty support for the policies and procedures that are recommended in these proposals. The relevant survey data is cited in endnotes. At the second Forum (September 26, 2012), these proposals were discussed. The administration expressed a degree of agreement (or in some cases posed no major disagreement) with these proposals (or proposals with similar content). Therefore, the senate recommends each of the following proposals. And we recommend the incorporation and placement of these proposals in the APPM.

#### Proposals

1. We propose that at each decision level—from the department chair to the Vice President—the recommendation on tenure and/or promotion be accompanied by a narrative evaluation of each performance criterion (*effective classroom teaching, research/scholarship, contributions to the institution and profession*) and when applicable *performance of non-teaching or administrative duties*) and a copy of the evaluation shall be given to the applicant at each stage of the tenure/promotion process.<sup>i</sup>
2. We propose that faculty be given the option to withdraw a tenure/promotion application (without prejudice to future applications) after receiving the Vice President’s recommendation. In addition, in order for faculty to make an informed decision regarding withdrawal, the faculty shall be given a summary of the recommendations and the evaluations along with the Vice President’s recommendation. If the applicant files an appeal, the applicant shall have the opportunity to withdraw the application at the conclusion of the appeal process and before the application proceeds to the President.<sup>ii</sup>
3. We propose that future tenure/promotion committees contain all faculty in the department with the appropriate tenure/rank so that we are in compliance with RUSO [policy](#).
4. If out-of-department faculty are needed to fill vacancies on tenure and promotion committees, the following process shall be used. The applicant will submit a list of prospective faculty to the department chair and Dean. The list may include up to twice the number of needed faculty for the vacancies. The Dean and the department chair will then choose from the list to fill the vacancies. If no agreement can be reached to fill the vacancies, then the vacancies will be filled by a random selection process—with an equal probability of selection—from the qualified faculty within the applicant’s school.
5. We propose that the current application dates be moved up, with any appeals being filed at the end of January.

**Comment [w1]:** APPM 4.5.2.2

**Comment [w2]:** APPM 4.5.2.3

**Comment [w3]:** APPM 4.5.2.4

**Comment [w4]:** APPM 4.5.2.5

**Comment [w5]:** RUSO Policy Manual 3.3.5

September 15: Applicant submits portfolio  
October 1: Committee formed  
October 15: Committee vote  
November 1: Chair recommendation  
December 1: Dean recommendation  
January 15: VPAA recommendation  
January 30: Deadline for filing appeals or application withdrawal  
February 15: Decision by FAC  
March 1: President recommendation

6. We propose that due process appeals be heard by the full Faculty Appellate Committee rather than a 3 member Hearing Committee. In addition, the Faculty Senate Committee on Committees will select three (one from each School) alternative committee members to fill committee vacancies in the case of recusals.

#### Recommended Changes and Placement in the APPM

#### **4.6.3 Procedure for Granting Promotion and Tenure (replaces 4.5.3. Promotion Process) Rev. 9/03**

The normal procedure for granting tenure is initiated by the faculty member during the fifth, sixth, or seventh year of service to the University in a tenure-track position. The normal procedure for granting promotion is initiated by the eligible faculty member. The following steps outline the normal process:

##### Step 1–

By **September 15**, the faculty member files a written request for promotion and/or tenure with the department chair. The request must be accompanied by a portfolio exhibiting documentation of effective teaching, research/scholarship, contributions to the institution and profession, and performance of non-teaching or administrative duties, if appropriate.

##### Step 2–

By **October 1**: A Promotion and Tenure Review Committee shall be formed. **The Committee shall include all faculty in the department with the appropriate tenure/rank. For Tenure applications, all tenured faculty members within the department shall serve as the Promotion and Tenure Review Committee.** In Promotion cases, only tenured faculty at or above the rank sought shall serve on the committee. **In the event that the number of faculty at the appropriate rank or tenured faculty members in the department is fewer than five (5), the tenured and appropriately ranked faculty within the department will serve on the committee and additional tenured and appropriately ranked faculty members will be appointed by the following process. The applicant will submit a list of qualified prospective faculty to the department chair and dean. The list may include up to twice the number of needed faculty for the vacancies. The Dean and the department chair will then choose from the list to fill the vacancies. If no agreement can be reached to fill the vacancies, then the vacancies will be filled by a random selection process--with an equal probability of selection--from the qualified faculty within the applicant's school.**

##### Step 3--

##### **By October 15:**

The chair/dean shall call a meeting of the Promotion and Tenure Review Committee to initiate discussion of the request. After each member of the Promotion and Tenure Review Committee critiques the portfolio and each performance criterion, the faculty member's performance shall be reviewed, discussed, and evaluated by the Promotion and Tenure Review Committee. This review shall be conducted in a manner

**Comment [wf6]:** On April 13, 2011, the senate approved the recommendation for the following language change: "the normal procedure for granting tenure is initiated by the faculty member during the fifth, sixth **and/or** seventh year of service to the University in a tenure track position." We again recommend that this policy modification be approved and that the wording in the APPM be changed.

that allows for input from non-tenured colleagues, students, alumni, and administrative information from the department chair. After completion of the review, a poll by

ballot of the Promotion and Tenure Review Committee will be taken to determine whether a recommendation for the granting of tenure will be made. A simple majority rule shall prevail. The Promotion and Tenure Review Committee shall then send the portfolio, the committee's vote, and their recommendation to grant or to deny to the department chair. All ballots are to be retained by the chair of the Promotion and Tenure Review Committee until a final decision is reached concerning the request. The ballots shall then be destroyed.

**Step 4–**

By **November 1**: The department chair shall review the Promotion and Tenure Review Committee's vote, critique the portfolio, evaluate each performance criterion, and decide whether to recommend the granting of tenure. The department chair will then forward a recommendation concerning the request and all documentation to the dean of the school. **The chair will provide the applicant with a written statement of his/her action and a written narrative evaluation of the applicant's performance on each performance criterion. A written statement of his/her action shall also be forwarded to the members of the Promotion and Tenure Review Committee.**

**Step 5–**

By **December 1**: The dean of the school shall review the department chair's recommendation, the Promotion and Tenure Review Committee's vote, critique the portfolio, evaluate each performance criterion, and decide whether to recommend the granting of tenure. The dean will then forward a recommendation concerning the request and all documentation to the Vice President for Academic Affairs. **The dean will provide the applicant with a written statement of his/her action and a written narrative evaluation of the applicant's performance on each performance criterion. A written statement of his/her action shall also be forwarded to the department chair and to the members of the Promotion and Tenure Review Committee.**

**Step 6–**

By **January 15**: The Vice President for Academic Affairs shall review the dean's recommendation, the Promotion and Tenure Review Committee's vote, critique the portfolio, evaluate each performance criterion, and decide whether to recommend the granting of tenure. The Vice President for Academic Affairs will then forward a recommendation concerning the request and all documentation to the President. **The VPAA will provide the applicant with a written statement of his/her action and a written narrative evaluation of the applicant's performance on each performance criterion. A written statement of his/her action shall also be forwarded to the dean, the department chair and to the members of the Promotion and Tenure Review Committee.**

**Withdrawal of Application:** If the Vice President for Academic Affairs recommends that promotion or tenure be denied, the s/he will provide the applicant with a summative list of the recommendation decision from the Review Committee and the recommendations and narrative evaluations from the department chair, dean, and VPAA. The applicant will then have the opportunity to withdraw the tenure/promotion application without prejudice toward future applications. The applicant must file the withdrawal with the VPAA by January 30. If the applicant chooses to file a due process appeal, s/he will have the opportunity of withdrawing the tenure/promotion application at the conclusion of the appeal process or following the VPAA's decision, should the procedure be renewed as a result of the appeal.

**Due Process Appeal:** If the Vice President for Academic Affairs recommends that promotion or tenure be denied and the faculty member believes that the request has not been accorded "due process," s/he may request of the Faculty Appellate Committee a hearing pertaining solely to due process. Such an appeal must be filed by January 30. **The appeal hearing will be conducted by the full membership of the**

**Faculty Appellate Committee, with at least seven members of the committee participating in the hearing (see APPM 3.6.1 for the committee's composition and functions). All decisions by the committee shall be made by a simple majority vote.** Pertinent testimony from all parties involved may be heard. If the Faculty Appellate Committee rules that due process was violated, the committee may then recommend that the procedure be renewed at the point where violation occurred. The Vice President for Academic Affairs shall be responsible for monitoring the subsequent procedures to assure that due process is accorded. The Faculty Appellate Committee must complete action on an appeal by **February 15**.

**Step 7–**

**By March 1:** Upon receiving a recommendation from the Vice President for Academic Affairs, the President decides either to approve or disapprove the request for tenure. If the President approves the request for tenure, s/he submits it to the Regional University System of Oklahoma Board of Regents, normally at the April meeting. The President then reports the Regents' action to the Vice President for Academic Affairs, the dean of the school, the department chair, and the faculty member. If the President disapproves the request for tenure, s/he notifies the Vice President for Academic Affairs, the department chair, the Promotion and Tenure Review Committee, and the faculty member.

**If the applicant withdraws the application by the January 30 deadline, the application does not proceed to the President. If, as a result of an appeal decision, the tenure/promotion procedure is renewed, the VPAA's recommendation will be made by March 15. If the VPAA's decision is to deny tenure/promotion, the applicant will have the opportunity to withdraw the application. The withdrawal must be filed by March 30. If the application is withdrawn, it will not proceed to the President.**

### **3.6.1 Faculty Appellate Committee**

**This committee shall be composed of eight members (4 from A & S, 2 from EBS, and 2 from JMSB). The Committee on Committees will also select three alternate members (1 from each school) who will serve to replace committee members in the case of recusals. The Faculty Appellate Committee serves the following functions: (1) to hear due process appeals in the tenure and promotion process (4.6.3, Step), (2) as the Appellate Committee on Dismissal of Tenured Faculty Members (4.6.12), and (3) to hear faculty grievances (4.4.6).**

### **4.6.4 Concepts Regarding Tenure**

~~Once the tenure process has been initiated, it must be completed.~~

<sup>i</sup> In the 2012 survey when asked if at each level a decision should be accompanied by a written explanation, 40 faculty replied "Yes", 27 replied "Only in the case of a negative decision", and only 5 said "No."

<sup>ii</sup> When asked whether an applicant should be allowed to withdraw a tenure application, 59 faculty responded "Yes", and 12 responded "No" (for promotion it was 60 "Yes" and 12 "No"). On the related issue of multiple applications for tenure: On the Tenure and Promotion survey, faculty were asked if faculty members should be allowed to apply more than once, provided the applications are in year five, six or seven. Out of the 72 who took the survey, 62 said "Yes", 8 said "No", and 2 did not respond.